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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/063,601
	Filing Date	05/03/2002
	First Named Inventor	Nicholas Roddy
	Group Art Unit	Not Assigned
	Examiner Name	Not Assigned
Total Number of Pages in This Submission	Attorney Docket Number	121891/624226-352

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
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<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

GROUP 3600

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Enrique J. Mora, Esquire Beusse, Brownlee, Bowdoin & Wolter, P. A.
Signature	
Date	Jun 24, 02

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 6-26-2002	
Typed or printed name	Evelyn J. Gish
Signature	
Date	6-26-2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: **Nicholas Roddy,
et al.**

Group Art Unit: Not Assigned

Serial No. **10/063,601**

Examiner: Not Assigned

Filed: **05/03/2002**

For: **Method And System For Analyzing
Fault And Quantized Operational
Data For Automated Diagnostics of
Locomotives**

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JUL 09 2002

INFORMATION DISCLOSURE STATEMENT

GROUP 3600

- ☒ 1. Pursuant to 37 CFR 1.97(b)
(within 3 months of filing or prior to 1st Office Action)
- ☐ 2. Certification Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ 3. Fee Payment Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ 4. Petition, Certification & Petition Fee Payment Pursuant to 37 CFR
1.97(d) (before issue fee payment)

Commissioner of Patents
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance
with 37 CFR 1.97 & 1.98:

- ☒ 5. A list of documents on form PTO-1449 together with copies of each
identified document and a translation or a concise explanation of each non-
English language document is enclosed herewith.

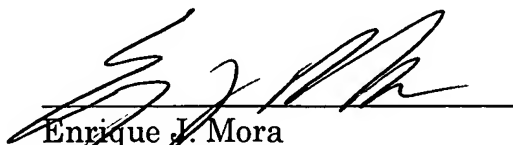
This paper is submitted in accordance with:

- ☒ 6. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- ☐ 7. 37 CFR 1.97(c): [before Final office Action or Allowance, whichever is
earlier; and

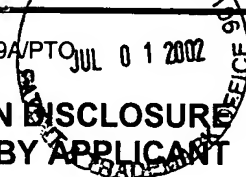
- [] 8. The required certification made in item 11 below; or
- [] 9. The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement.
- [] 10. 37 CFR §1.95(d): [before issue fee payment]; and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g. "Allowed Files, Batch ____, Date of Allowance ____"), and
- b) The required Certification is stated in item 11 below.
- [] 11. Certification
- [] 12. Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
- or
- [] 13. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- [] 14. Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. _____.

An original and two (2) copies of this document are enclosed.

Respectfully submitted,



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& Wolter, P. A.
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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
Applicant Number		10/063,601			
Filing Date		05/03/2002			
First Named Inventor		Nicholas Roddy			
Group Art Unit		Not Assigned			
Examiner Name		Not Assigned			
Attorney Docket Number		121891/624226-352			
Sheet	1	of	3		

U.S. PATENT DOCUMENTS						
Examiner Initials [*]	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	6,243,628		Bliley, et al.	06/05/2001	RECEIVED
	2	6,263,265		Fera	07/17/2001	JUL 30 2002
	3	6,301,531		Pierro, et al.	10/09/2001	
	4	6,324,659		Pierro	11/27/2001	
	5	6,338,152		Fera et al.	01/08/2002	Technology Center 2100
	6	6,405,108		Patel, et al.	06/11/2002	
						RECEIVED
						JUL 09 2002
						GROUP 3600

FOREIGN PATENT DOCUMENTS							
Examiner Initials [*]	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Office ³	Number ⁴	Kind Code ⁵ (if known)			

Examiner Signature		Date Considered	
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^{*} EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Applicati n Numb r	10/063,601
				Filing Dat	05/03/2002
				First Named Invent r	Nicholas Roddy
				Group Art Unit	Not Assigned
				Examiner Name	Not Assigned
Sheet	3	of	2	Attorney Docket Number	121891/624226-352

OTHER PRIOR ART – NONPATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	1	Trobec R. et al.; "Optimization Of Diagnostic Examination"; Joint International Conference On Vector And Parallel Processing; Berlin De 1994, pp 761-772, XP000974309.	
	2		
	3		
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